Documentum Records Manager v3.0 by Documentum with ApplicationXtender v4.5 by Legato Systems, Inc.

Documentum RM/ApplicationXtender Summary Report

The Joint Interoperability Test Command tested the integration of Documentum Records Manager v3.0, by Documentum, with ApplicationXtender v4.5, by Legato Systems, Inc., from September 17 through 19, 2002. The implementation was verified using version 6.5 of the RMA Compliance Test Procedures and is compliant with DoD 5015.2-STD, dated June 2002. All mandatory requirements were satisfied.

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1. Product Identification

ApplicationXtender is a content management system and offers the ability to store files. Its integration with Documentum Records Manager gives organizations the ability to manage ApplicationXtender documents as records.

The pairing, as tested, consisted of the following component programs and utilities.

- Documentum Records Manager v3.0 (formerly ForeMost Enterprise v3.0)
- ApplicationXtender v4.5
- ApplicationXtender RecordsActivator v3.0

1.1 Allocation of RMA Requirements

Table 1 identifies the mandatory functions required by the Standard and indicates which of those functions are performed by Documentum RM, which are performed by ApplicationXtender, and which are performed jointly.

Table 1. Mandatory Functions Allocation				
DoD 5015.2-STD		Documentum RM	Application Xtender	Comments
Para	**Requirement**			
C2.1.1.	Managing Records	✔		
C2.1.2.	Accommodating Dates and Date Logic	✔	✔	Separately
C2.1.3.	Implementing Standard Data	✔	✔	Separately
C2.1.4.	Backward Compatibility			Not Tested[1]
C2.1.5.	Accessibility	✔		
C2.2.1.	Implementing File Plans	✔		
C2.2.2.	Scheduling Records	✔		
C2.2.3.	Declaring and Filing Records	✔	✔	Jointly
C2.2.4.	Filing E-mail Messages	✔		
C2.2.5.	Storing Records	✔	✔	Separately
C2.2.6. Retention and Vital Records Management				
C2.2.6.1.	Screening Records	✔		
C2.2.6.2.	Closing Record Folders	✔		
C2.2.6.3.	Cutting Off Record Folders	✔		
C2.2.6.4.	Freezing/Unfreezing Records	✔		
C2.2.6.5.	Transferring Records	✔	✔	Jointly
C2.2.6.6.	Destroying Records	✔	✔	Jointly
C2.2.6.7.	Cycling Vital Records	✔		
C2.2.6.8.	Searching and Retrieving Records	✔	✔	Jointly
C2.2.7.	Access Controls	✔		
C2.2.8.	System Audits	✔		
C2.2.9.	System Management Requirements	✔		Performed by the operating system and DBMS

[1] This test was the first test against this requirement. Test data from a previous system was not available.

2. Test Configuration

The testbed hardware configuration, located at the Documentum facility in Ottawa, Canada, consisted of:

- **Documentum RM Server:** Windows 2000 Advanced Server (SP1) with Microsoft SQL Server 2000 (SP1), Documentum Records Manager Server v3.0, and ApplicationXtender RecordsActivator v3.0
- **ApplicationXtender Server:** Windows 2000 Advanced Server (SP1) with MS SQL Server 2000 (SP1), and ApplicationXtender v4.5
- **PC Client:** Windows XP Professional with Documentum Records Manager v3.0, ApplicationXtender v4.51, MS Office 2000 (SP1), and MS Outlook 2000.
- **Laptop Client:** Windows 2000 Professional (SP2) with Documentum Records Manager v3.0, ApplicationXtender v4.51, MS Office 2000 (SP1), and MS Outlook 2000.
- **E-mail Server:** Windows NT 4 (SP6A) with MS Exchange v5.5e (SP3)

3. RMA Mandatory Requirements

3.1 Managing Records [C2.1.1.]

In this implementation, users filed e-mail and non-electronic records from within Documentum Records Manager, hereafter referred to as Documentum RM. Users brought electronic documents into ApplicationXtender, hereafter referred to as AX, and then filed them to Documentum RM. When an electronic document is transferred and becomes a record, the profile data is stored in Documentum RM and the user no longer sees that document in AX; however, the electronic file remains in the AX repository.

3.2 Accommodating Dates and Date Logic [C2.1.2.]

Documentum RM and AX store and display dates using a 4-digit year format, and recognize leap years including the year 2000. Both accept user input of valid dates from current, previous and future centuries.

3.3 Implementing Standard Data [C2.1.3.]

Documentum RM provides the required elements necessary to implement standard data. Records managers can configure AX with most of the record metadata data elements as defined in DoD 5015.2-STD by using the Application Generator. When paired with Documentum RM, AX data elements can be mapped to those in Documentum RM by using the ApplicationXtender RecordsActivator.

The RecordsActivator does not offer the capability to map the Folder ID, Vital Records Review and Update Period, and Vital Records Review and Update Date. Users must complete these fields upon filing, when they are presented a Documentum RM profile.

3.4 Backward Compatibility [C2.1.4.]

This is the first test for these products against version two of DoD 5015.2-STD[2], therefore test data from a previous test was not available to verify backward compatibility.

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[2] Backwards Compatibility is a new requirement in the June 2002 version of DoD 5015.2-STD.

3.5 Accessibility [C2.1.5.]

Legato provided the 508 Voluntary Product Accessibility Templates (VPATS) provided as appendices to the detailed test report.

3.6 Implementing File Plans [C2.2.1.]

Documentum RM provides all required elements necessary to implement the file plan.

3.7 Scheduling Records [C2.2.2.]

Documentum RM provides all required elements necessary to schedule records.

3.8 Declaring and Filing Records [C2.2.3.]

Users file e-mail and non-electronic documents using the Documentum RM interface.

When filing through AX, users first bring the document into AX and assign the required metadata elements. When users decide to file the document into Documentum RM, they perform a search for that document, open it, and transfer it.

At this point, they must log into Documentum RM. Documentum RM presents a record profile screen. All mapped metadata information from the AX profile is inserted in the Documentum RM profile. At this point, if users wish to file into a folder, they must select that folder from the Documentum RM profile. In addition, if the record is a Vital Record, they must select the "Vital Record Review and Update Cycle Period" and insert a "Vital Record Review and Update Cycle Date."

After completing the Documentum RM profile, users select "OK" and the document is treated as a record. Although the electronic record file remains in the AX repository, it no longer appears in searches performed from within AX.

At the time of filing, Documentum RM assigns a Unique Record Identifier and adds the Date Filed. Users cannot modify either field.

3.9 Filing E-mail Records [C2.2.4.]

Documentum RM provides all required elements necessary to file e-mail as records.

3.10 Storing Records [C2.2.5.]

Documentum RM stores e-mail records in its own repository. AX stores electronic documents in its own repository. The permissions granted in Documentum RM determine who has access to the records and what they can do with those records. Only users with appropriate access can delete records from the repository.

Documentum RM stores the file plan and document profile data in a relational database. MS SQL Server 2000 provided the database during the certification test.

3.11 Screening Records [C2.2.6.1.]

Documentum RM provides all required elements necessary to screen records.

3.12 Closing Record Folders [C2.2.6.2.]

Documentum RM provides all required elements necessary to close record folders.

3.13 Cutting Off Record Folders [C2.2.6.3.]

Documentum RM provides all required elements necessary to cut off record folders.

3.14 Freezing/Unfreezing Records [C2.2.6.4.]

Documentum RM provides all required elements necessary to freeze and unfreeze records and folders.

3.15 Transferring Records [C2.2.6.5.]

Documentum RM provides the tools necessary to determine when records are due for transfer or accession. Documentum RM copies the affected electronic files being stored in it's own repository and XML-based metadata files to a user-specified directory. Documentum RM sends a command to AX telling it to write the selected records to a folder. AX creates separate folders for each file that is written out. The Documentum RM and AX records are then destroyed.

3.16 Destroying Records [C2.2.6.6.]

Documentum RM provides the tools necessary to determine which records and/or folders are due for destruction. After the records manager confirms the intent to destroy records, Documentum RM deletes the records from it's own repository and sends a command to AX telling it to destroy the selected records. Records cannot be reconstructed once they have been deleted.

3.17 Cycle Vital Records [C2.2.6.7.]

Documentum RM provides all required elements necessary to cycle vital records.

3.18 Searching and Retrieving Records [C2.2.6.8.]

Documentum RM provides all required elements necessary to search for records and to retrieve them from its own repository. To retrieve a record from the AX repository, the user must right-click on the search result and select "View Content" (to simply view the file in the AX viewer) or "Retrieve As" (to download a copy of the file to their hard drive).

3.19 Access Control [C2.2.7.]

Documentum RM provides all required elements necessary to control access to records.

3.20 System Audits [C2.2.8.]

Documentum RM provides system auditing capabilities.

3.21 System Management Requirements [C2.2.9.]

MS Windows 2000 Advanced Server and the MS SQL 2000 Server database management system provide the required system management capabilities.
